



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

App. No. : 10/689,402 : Confirmation No.: 2570  
Applicant : Peng Zhang, et al.  
Filed : October 20, 2003  
For : PROCESS SOLUTIONS CONTAINING SURFACTANTS USED AS  
POST-CHEMICAL MECHANICAL PLANARIZATION TREATMENT  
  
Art Unit : 1746  
Examiner : B. S. Carrillo  
  
Docket No. : 06412 USA  
Customer No. : 23543

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

<p align="center"><b>CERTIFICATE OF MAILING</b></p> <p>I CERTIFY THAT THIS PAPER (ALONG WITH ANY PAPER REFERRED TO AS BEING ATTACHED OR ENCLOSED) IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE WITH SUFFICIENT POSTAGE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO:</p> <p align="center">COMMISSIONER FOR PATENTS P.O. BOX 1450 ALEXANDRIA, VA 22313-1450</p> <p>ON <u>July 18, 2005</u> Date</p> <p align="center"><u>Rosaleen P. Morris-Oskanian</u> (Type or print name of person mailing paper)</p> <p align="center"><u>Rosal n O</u> Signature of person mailing paper</p>
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Sir:

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97(d)**

The Information Disclosure Statement transmitted herewith is being filed *after* the period specified in paragraph 1.97(c), but on or before payment of the issue fee.

In accordance with the requirements of 37 C.F.R. 1.97(d), accompanying this transmittal is a statement, as specified in 37 C.F.R. 1.97(e) and the fee set forth in § 1.17(p).

Respectfully submitted,

Rosaleen P. Morris-Oskanian  
Attorney for Applicant(s)  
Registration No. 47,321

7201 Hamilton Boulevard  
Allentown, PA 18195-1501  
(610) 481-8169



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<b>CERTIFICATE OF MAILING</b>	
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COMMISSIONER FOR PATENTS P.O. BOX 1450 ALEXANDRIA, VA 22313-1450	
ON	<u>July 18, 2005</u>
	Date
	<u>Rosaleen P. Morris-Oskanian</u>
	(Type or print name of person mailing paper)
	<u>Rosaleen P. Morris-Oskanian</u>
	Signature of person mailing paper

Sir:

**STATEMENT FOR INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97(e)**

This statement is being made for the Information Disclosure statement

☒ accompanying this statement.

or

☐ filed on .

I, the person(s) signing below, state:

☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 CFR 1.97(e)(1).

or

☒ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of the statement. 37 CFR 1.97(e)(2).

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The person making this statement is the attorney/agent who signs below on the basis of the information:

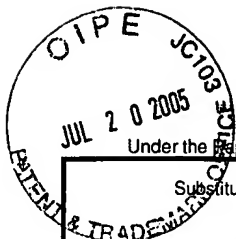
- ☐ supplied by the inventor(s).
- ☐ supplied by an individual designated in § 1.56(c).
- ☒ in the attorney's file.

Respectfully submitted,



Rosaleen P. Morris-Oskanian  
Attorney for Applicant(s)  
Registration No. 47,321

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Allentown, PA 18195-1501  
(610) 481-8169



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/689,402		
Filing Date	October 20, 2003		
First Named Inventor	Peng Zhang, et al.		
Art Unit	1746		
Examiner Name	B. S. Carrillo		
Attorney Docket Number	06412 USA		
Sheet	1	of	1

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 2004/0053172	03-18-2004	Zhang, et al.	
		US- 2004/0029395	02-12-2004	Zhang, et al.	
		US- 2004/0204328	10-14-2004	Zhang, et al.	
		US- 2004/0029396	02-12-2004	Zhang, et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

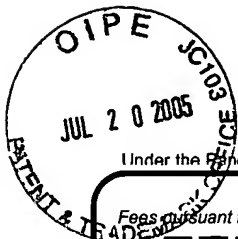
Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL**  
**For FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 180.00**Complete if Known**

Application Number	10/689,402
Filing Date	20 October 2003
First Named Inventor	Peng Zhang, et al.
Examiner Name	B. S. Carrillo
Art Unit	1746
Attorney Docket No.	06412 USA

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_☒ Deposit Account Deposit Account Number: 01-0493 Deposit Account Name: Air Products and Chemicals, Inc.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims	Fee (\$)	Fee Paid (\$)
- 20 or HP =	x	50	=	0		
HP = highest number of total claims paid for, if greater than 20						
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)			
- 3 or HP =	x	200	=	0		
HP = highest number of independent claims paid for, if greater than 3						

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)	
- 100 =	/ 50 =	(round up to a whole number) x	250	=	0

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other: Submission of an Information Disclosure Statement**Fees Paid (\$)**

180

**SUBMITTED BY**

Signature	<u>Rosaleen P. Morris-Oskanian</u>	Registration No. (Attorney/Agent)	47,321	Telephone	610-481-8169
Name (Print/Type)	Rosaleen P. Morris-Oskanian	Date	7-18-2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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